Iowa Utilities Board Electronic Filing System

User Guide for Guest Users

January 2011

This manual is intended to provide guidance and information to users of the Iowa Utilities Board Electronic Filing System.

These user guides may not include current information necessary to make filings with the Iowa Utilities Board. Additional information and updated information for the Electronic Filing System can be found by viewing documents in the following Dockets:

- EFS-2011-0001
- EFS-2010-0001
- EFS-2009-0001

An EFS docket will be created each calendar year and will contain information created and sent to EFS users during that year.

Your feedback is important to making this user guide as useful as possible. Please send comments and questions about this manual to the EFS Help Desk at efshelpdesk@iub.iowa.gov.

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Introduction

1.1 Purpose

This guide is intended for guest users of the Iowa Utilities Board's Electronic Filing System (EFS), although most functions described in this guide will be the same for all users.

The Board uses EFS to receive, distribute, and publish documents electronically. EFS was developed to allow easy submission of and access to documents for all users, including the general public.

1.2 How to Use This Guide

As of January 2, 2009, filings with the Iowa Utilities Board must be made electronically, unless an exception applies or the Board orders otherwise. The Board's administrative rules governing electronic filing are found at 199 IAC 14 at http://www.legis.state.ia.us/IAC.html.

This guide has been prepared to assist the guest user of EFS in submitting and searching for documents filed electronically. The guide contains introductory information, such as system requirements; common functions, such as the magnifying glass icon; explanations of how to submit a filing; a glossary; and an index. The glossary lists terms and definitions used within this guide. The index lists functions, topics, and their corresponding page numbers. Screen shots may differ slightly from the actual screens in EFS.

1.3 System Requirements

EFS is a Web-based application that must be accessed through a Web browser.

The supported Web browsers are:

- Microsoft Internet Explorer (5.5 SP2, 6.0 SP2, or 7.0)

- Firefox (1.5 or higher)

- Opera

Although EFS will respond faster over a high-speed Internet connection, dial-up users also have access to EFS. If you have a dial-up connection, expect slower speeds, especially if attempting to upload a document into the system or when performing a search with many results.

Most documents in EFS are stored as PDF (portable document format) files. Adobe Reader, or similar software, is required to view PDF files. To download the latest version of Adobe Reader, go to http://www.adobe.com/products/acrobat/readstep2.html. Some items such as spreadsheets, graphics or sound files will be stored in other formats and users will need the appropriate software to use those items.

Please also make sure pop-up blockers are disabled for the site, as there are many functions that occur within a pop-up window (e.g. docket searches, calendar pop-ups). To turn off the pop-up blocker in

Microsoft Internet Explorer 6, select the Tools menu, then choose Pop-up Blocker. If the Blocker is off, EFS will work fine. If the Blocker is on, select Pop-up Blocker Settings and add efs.iowa.gov/efs to the list of exceptions so pop-ups are enabled for EFS.

The EFS Web site is best viewed with an 800 x 600 screen resolution or higher.

1.4 Contact Us

Office Location:
Iowa Utilities Board
1375 East Court Avenue
Des Moines, Iowa 50319-0069

EFS Help Desk:
Phone: (515) 725-7337
E-mail: efshelpdesk@iub.iowa.gov

IUB Web site
http://iub.iowa.gov

EFS Web site
http://efs.iowa.gov

2 Filing and Retrieval of Documents

The Electronic Filing System (EFS) is the Web-based application used by the Board to receive electronic filings from external users and is the repository of most documents electronically filed with the Board and orders issued by the Board in proceedings initiated on or after January 2, 2009. EFS makes Board orders and non-confidential documents available on the Board's Web site for public searching and download. The Board's electronic filing requirement went into effect on January 2, 2009. The Board's rules governing electronic filing and identifying exceptions to the electronic filing requirement are found at 199 IAC 14.

You can use the EFS to file documents with the IUB. If you are making a filing and will be doing so on rare occasions (one or two filings per year or less), submit the filing as a guest user. If you make regular, routine, or large filings, please log in or apply to become a registered user. To complete the filing, enter some information about the filing and add your document(s). If you don't know the docket information, you may leave it blank. The filing title is provided by you to help the IUB know what the filing is about.

The filing title should include information that will allow it to appropriately identify groups of documents filed at the same time. For instance, a filing that will include all the initial documents for a rate proceeding might be called Request for Natural Gas Rate Increase. (See Section 5 for more information about naming conventions for filings and documents.)

If you have more than one document to submit in a filing, you can add documents one at a time until you have added them all. Each document within a filing should have a unique name and should be

named to permit easy retrieval through the document search. See Section 5 of this guide for naming conventions. Documents in a single filing should be related to the same docket or proceeding. Submit unrelated documents as separate filings.

You can also use EFS to search for public documents, for tariffs, and for information about dockets and companies.

3   Submitting a Filing

3.1   Submission Process Overview

Through EFS, guest users may submit a filing to the IUB without becoming a registered user. There are multiple steps to the submission process, which are detailed below. Multiple documents can be added to a single filing. To submit a filing as a guest, select the Submit Filing menu item from the header menu. You will then be taken to an intermediary screen that allows you to log in or to choose to submit as a guest. Select the button that says "Submit Filing as Guest." First, some basic information is entered about the filing and the submitter. Then, you will be sent to the page where one or more documents can be added to the filing. A filing must contain at least one document. Once all the documents are added, select the Submit Filing button and a screen will display "Upload Complete" and give you some basic information about your filing. At this point, the filing will be submitted to the Board's Records and Information Center for processing.

3.2   How to File

Your first step is to enter information about the filing and about the party for whom the filing is submitted (Submitter Company or a company or person identified in lower half of the screen). Enter the following information in the appropriate fields as necessary:

- Enter the docket number if you know the number, or search for the docket number using the Docket Search pop-up screen. The docket number is not a required field.

- Enter the Filing Title. See Section 5: File and Document Naming Instructions for information about how to name the filing.

- Enter the Submitter Name. This is the name of the person for whom the filing is made.

- Find and highlight the name of the company or entity for which the filing is made in the Submitting Companies dropdown list, and click "Add" to enter the name in the Submitting Parties field. The search magnifying glass to the right of the Submitter Company field allows you to search for the name of the company or entity for which you are submitting the filing and to select that name if it is already stored in Board records.

- If the name of the company or entity on whose behalf you are making the filing does not appear on the dropdown list or if you are making the filing on behalf of person, enter the name and contact information for that company or person in the lower half of the screen.

- Enter Submitter Email. A submitter's Email or Phone is required.

- Enter Submitter Address, City, State, Country, and Zip Code / Postal Code. If the Address is outside the US, Canada, and Mexico is selected, this will hide irrelevant address fields.

- Enter Submitter Phone. A submitter's Email or Phone is required.

- Enter Preferred Method of Contact. Email is the default value. Entering an email address will enable notification regarding the filing to be sent electronically.

- Enter any comments about the filing in the comments field. Comments in this field are to aid Records Center staff in processing the filing. These comments are not viewable or searchable after the filing has been accepted and they are not part of the record in the docket.

- If you are making this filing for another person or company not included in the Submitting Company field above, enter their information in the following section.

- Enter the characters you see in the image (case sensitive). If you cannot decipher the letters, select the link to refresh the image. Information entered on the screen will NOT be lost.
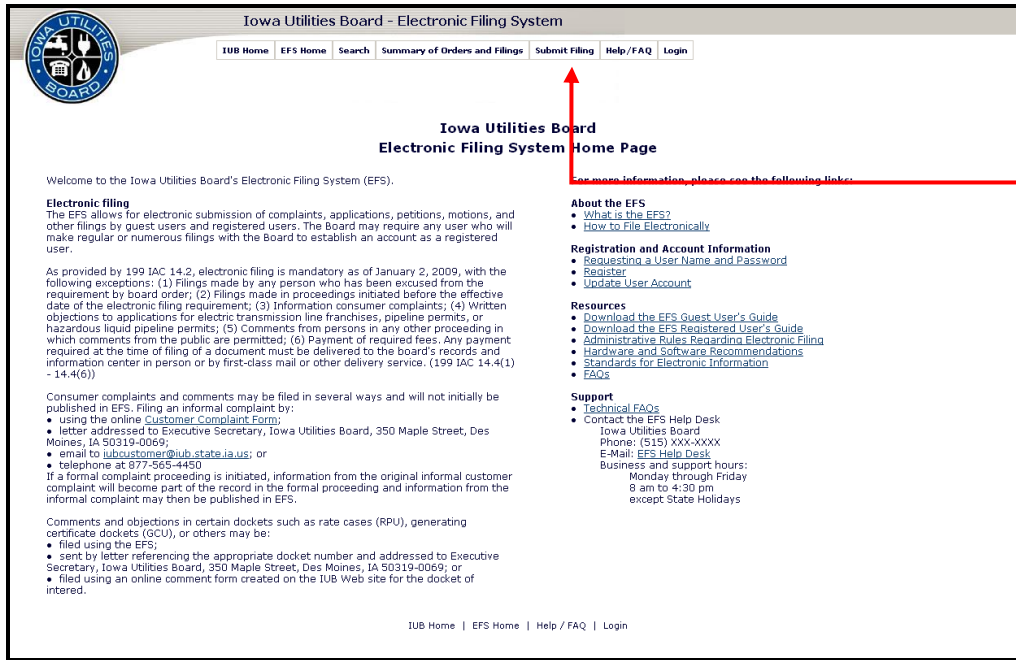
To submit the filing, press (A)dd Documents.

To cancel the filing before adding documents, press (C)lear Screen.

Selecting (A)dd Documents will take you to the "Add a Document to the Filing" screen, where you will select the document you wish to file using the Browse function.

- Using the Browse function, search your computer files and select the document you wish to file.

- Enter the title of the document you wish to add to your filing. See Section 5 for File and Document Naming Instructions.

- Enter any comments about the document you wish to include. Filers can use the Comments field to convey information to Records Center about the document. Document comments will not be viewable or searchable in EFS.

- Click on "Add Document."

- If you have another document to include in your filing, simply Browse again to find that document on your computer or network and enter information about that document.

- If you have added a document in error, click on "delete" next to that file in the "Documents Included in Filing" list. Only the selected document will be deleted from the filing.

- When you are done adding documents to your filing, click on "Submit Filing."

- To cancel the entire filing without submitting any documents or filing information, click on "Ca(n)cel Filing". This removes all filing information and documents and allows you to begin a new filing.

Here is the Submit Filing link.

Here is the Submit Filing as Guest button.

Select the magnifying glass icon to pop-up a Docket Search that will populate the field.

Iowa Utilities Board - Electronic Filing System

IUB Home | EFS Home | Search | Summary of Orders and Filings | Submit Filing | Help/FAQ | Login

Welcome to the Iowa Utilities Board's (IUB) Electronic Filing System.

You can use this system to file documents with the IUB. Simply fill in some information about yourself and about the document and filing on this screen and select Add Document. If you don't know the docket information, you may leave it blank. The Filing Title is provided by you to help the IUB know what the filing is about.

On the next screen, you will select the file you wish to upload, and add it to your filing. If you have more than one document to submit in this filing, you can add documents one at a time until you have added them all. Documents in a single filing should be related to the same docket or subject. Please submit unrelated documents as separate filings. To submit the filing after adding document(s), press "Done". To cancel a submission without filing it, press the "Cancel" button at any time.

* - required field

Docket Number:
Filing Title: *
Submitter Name: *
Submitter Company:
Submitter Email: (Email or Phone is required)
Address is outside the US, Canada, and Mexico: ☐
Submitter Address 1: *
Submitter Address 2:
Submitter Address 3:
Submitter City: *
Submitter State / Province: IA - Iowa *
Submitter Country: United States
Submitter Zip Code / Postal Code: *
Submitter Phone: ( ) - (Email or Phone is required)
Preferred Method of Contact: Email *
Comments:

If you are making this filing for another person or company not included in the Submitting Parties list above:
Please provide the following contact information for that person or company in the section below: Name and address and, if possible include a telephone number and E-Mail address.

Name:
Email:
Address is outside the US, Canada, and Mexico: ☐
Address 1:
Address 2:
Address 3:
City:
State / Province: IA - Iowa
Country: United States
Zip Code / Postal Code: -
Phone: ( ) - -

Enter the characters you see in the image to the left (case sensitive): *

If you cannot decipher the letters above, click here to get a new image.

(A)dd Documents   (C)lear Screen

IUB Home | EFS Home | Help / FAQ | Login

Select the magnifying glass icon to pop-up a Company Search that will populate the Submitter Company box.

Select this box if the address of the submitting company is outside the US, Canada, or Mexico.   Selecting this will hide irrelevant address fields.

If you are making this filing for another person or company not included in the Submitting Company field above, enter their information in this section.

You must enter the characters in the image to the left before you can continue.

If you cannot decipher the letters in the image, select this link to refresh the image. Information entered on the screen will NOT be lost.

To move on and add documents to your filing, select the Add Documents button. However, make sure all the information you entered is correct because you cannot return to this screen.

If the magnifying glass is selected next to the Docket Number field, this Docket Search pop-up will appear. Once a search is run, the results will show on the bottom of the screen. For more information regarding the Docket Search, see Section 4.6.

Select the Close button to close the pop-up without selecting a docket number.

Select the Select link to choose a specific docket number. The information for that specific docket will be filled in on the parent screen.

If the magnifying glass is selected next to the Submitting Company field, this Company Search pop-up will appear. Once a search is run, the results will show on the bottom of the screen. For more information regarding the Company Search, see Section 4.7.

Select the Close button to close the pop-up without selecting a docket number.

Select the Select link to choose a specific docket number. The information for that specific docket will be populated on the parent screen.

This screen is the same as the first screen, but shows the view when a valid docket number has been selected from the docket search pop-up. Basic information will be shown about that docket to make sure the correct one has been selected.

Basic docket information.

Once the Add Documents button is selected, you will be taken to the page where you can add one or more documents to the filing.

If you assert that the document contains confidential information, select the Yes radio button and a pop-up will appear showing the criteria for a confidential document.

Select the Browse button to browse your computer or network and select a file.

To add the document you selected to the filing, select the Add This Document to Filing button.

When you are done adding documents, select the Submit Filing button.

To cancel your filing and remove your documents and any information from the EFS database, select the Cancel Filing button.

Does this document contain confidential information?

If you are claiming that the document you are filing contains confidential information,

1. Review the Board's Rules regarding confidential information at 199 IAC 1.9 and 199 IAC 14.12.
2. Include as necessary:
    *   Either a separate request for confidential treatment or, if a separate request is not required, a description of the basis for confidential treatment in the "Comments" field.
    *   The confidential version of the document named as "Document Title - Confidential," formatted as required by 199 IAC 14.12.
    *   The public version of the document named as "Document Title - Public," with all confidential information redacted. It is the responsibility of the person or entity submitting a public version of the electronic document file(s) to take appropriate measures to ensure that any embedded confidential information is non-viewable, non-searchable, and non-reversible.

Do you still wish to designate this document as confidential?

[Yes] [No]

Help / FAQ

Request for Confidential Filing pop-up that appears when the Yes radio button is selected.

Before proceeding, make sure your filing meets all requirements regarding confidential information. If you still wish to request confidential treatment, you

This is the view that shows when documents are added to the filing. Note that the documents are listed below.

If a document was added in error, use the Delete link to delete the document from the filing. A confirmation box will appear to make sure you want to delete.

Iowa Utilities Board - Electronic Filing System

IUB Home | EFS Home | Search | Summary of Orders and Filings | Submit Filing | Help/FAQ | Update Profile | Logout

Add a Document to the Filing

* - required field
Filing Title: Test filing for User Guide
Does this document contain confidential information? ○ Yes ◉ No
Document to File: [   ] [Browse...] *
Document Title: [   ] *
Comments: [   ]

(A)dd This Document to Filing

(C)lear Screen   (S)ubmit Filing   Ca(n)cel Filing

Documents Included in Filing

	ID	Filename	Document Title	Confidential	File Size
Delete	000494	Reports_examples.doc	Report Examples Document	N	40 KB
Delete	000493	Data Dictionary.doc	Data Dictionary Document - CONF	Y	70 KB

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Each document is assigned an ID in EFS.

A confidential indicator shows whether or not you requested confidential treatment.

The file size is listed so you can verify that the entire document was uploaded.

You must confirm that you really want to delete before the document can be deleted.

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Add a Document to the Filing

* - required field

Filing Title:
Does this docum
Document to File
Document Title:
Comments:

The page at http://iubvm2dev.zirous.com:7...

Are you sure you want to delete this file?

[OK] [Cancel]

(A)dd This Document to Filing

(C)lear Screen   (S)ubmit Filing   Ca(n)cel Filing

Documents Included in Filing

	ID	Filename	Document Title	Confidential	File Size
Delete	000498	Reports_examples.doc	Report Examples Document	N	40 KB
Delete	000497	Data Dictionary.doc	Data Dictionary Document - CONF	Y	70 KB

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If the Submit Filing button is selected while a file is in the Document to File field, a confirmation box will appear giving you the option to add the document to the filing before it is completed or to complete the filing without that document.

Iowa Utilities Board - Electronic Filing System

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Add a Document to the Filing

* - required field

The page at http://iubvm2dev.zirous.com:7777 says:

Would you like to add the current document to the filing before the filing is completed? Selecting "Cancel" will close the filing but not add the current document.

[OK] [Cancel]

(A)dd This Document to Filing

(C)lear Screen   (S)ubmit Filing   Ca(n)cel Filing

Documents Included in Filing

	ID	Filename	Document Title	Confidential	File Size
Delete	000498	Reports_examples.doc	Report Examples Document	N	40 KB
Delete	000497	Data Dictionary.doc	Data Dictionary Document - CONF	Y	70 KB

IUB Home | EFS Home | Help / FAQ | Login

IUB Home | EFS Home | Help / FAQ | Login

When the Submit Filing button is selected, you are taken to this screen, showing that your filing was completed.

You can select the Print button to print your Filing Complete page and the page will print without the header, footer, and buttons.

Your filing is assigned an ID number. Make a note of this ID as it is the best way for the EFS administrator to find your filing if there is a problem

3.3 What Happens to Your Filing

3.3.1 Records Center Staging Area

Your filing is uploaded to a Staging Area that is monitored by the IUB Records and Information Center (Records Center) staff during regular business hours (M-F 8 am to 4:30 pm, except state holidays). Records Center will review the filing information you provide and will quickly skim the documents to assure the filing is complete and properly described. After this quick review, they will accept the filing or reject the filing.

- **Accepted Filings**

  Accepted filings will be date stamped an, if you have entered a valid e-mail address, e-mail notification will be sent to you (the filer), the persons on the service list (if one exists), the Office of Consumer Advocate, and to the Board and IUB staff. You are responsible for service of documents for any party on the service list who is unable to accept electronic service. You are also responsible for service of documents for an initial filing. For more information about electronic service, see 199 IAC 14.16.

- **Rejected Filings**

  Rejected filings will be removed from the system and an electronic notice including the reason for rejection will be sent to you (the filer). Rejected filings will need to be resubmitted in their entirety once the necessary corrections have been made. A filing must be accepted for filing to meet any deadline.

3.3.2 Availability

Filings can be made in EFS at any time, except during scheduled or unscheduled maintenance. Filings received in the EFS staging area by 3:30 pm Central Time on an IUB business day will be considered filed on that day if they are accepted for filing by the Records Center.

EFS is available for searching at any time, except during scheduled or unscheduled maintenance.

Whenever possible, notice of maintenance will be provided on the IUB Web site and on the EFS Web site. Whenever possible, registered users will be notified of system outages by e-mail.

4 Searches

Within EFS, you can search for Docket information, Company information, Tariffs, Filings, and Documents. Search results are the same whether a user is logged in or not.

4.1 Docket Search

A docket search lets you search for information about a docket or dockets, including the docket title, description, participants, status, and service list.

4.2 Company Search

A company search returns information about the companies on the IUB companies list, including company name, business address, and IUB company number.

4.3 Document Search and Retrieval

Document searches are possible through four screens: Document Search, Filing Search, Full-Text Search, and Tariff Search. These screens allow you to search for public documents that have been received or issued and posted by the IUB. The filing search allows you to search for groups of documents submitted together in a filing. The Full-Text Search allows you to search the text of all documents, but this search should be used sparingly because the search takes longer to run and uses more system resources (yours and EFS) than the other searches, depending on what criteria are entered. The Tariff Search screen allows users to search through the tariff books, including active tariffs, books that contain the superseded pages, and inactive tariffs that are in the system. Tariff books are not viewable through a docket search.

4.4 Wildcard Searches

Wildcards may be used on any of the text fields when doing a Document Search, Full-Text Search, Docket Search, and Company Search. A wildcard is a symbol that stands for one or more unknown letters or numbers. The wildcards that may be used are the percent sign (%), which indicates any character(s), and the underscore (_), which indicates a single character.

On all the search screens, if no wildcards are entered, a percent wildcard will automatically be added to the end of the text entered. For example, if a Document Title has an entered value of 'Notice', the value

that will be searched will be 'Notice%'. This will return all documents that have a Document Title starting with Notice.

4.4.1 Wildcard Search Example A

To find all docket titles containing the word or partial company name telecommunications, enter %telecommunications% in the docket title field. The search will return docket titles like "Telecommunications Company A v. Another Company" or "Proposed Rule Revisions Regarding Telecommunications Issues."

4.4.2 Wildcard Search Example B

If three underscores are entered before -2007 and a percent symbol after the year (shown as ___-2007%) as search criteria in the docket number field, the search will look for all dockets that have three characters in front of -2007 and any characters after the 7.

Select the icon to pop-up a Docket Search that will populate the field.

Select calendar icon to select a date.

Select the icon to pop-up a Company Search that will populate the Parties box.

Selecting the Add button by the drop-down or text box will add that item to the Parties box. Selecting one or more items from the Parties box and selecting Remove will remove those parties.

You can specify how you want the results sorted and how many results you want to see per page.

Select the Search button to run the Search.

Iowa Utilities Board – Electronic Filing System   Welcome, Joe External User!

IUB Home   EFS Home   Search   Summary of Orders and Filings   Submit Filing   Help/FAQ   Update Profile   Logout

Document Search

Docket Number:
Docket Type: [Select a Docket Type]
Filing Title:
Date Filed:
Document Title:
Document Type: [Select a Document Type]
Submitter Name:
Submitting Parties: [Select a Company]   Add
                                                  Add
                                                  Remove
Industry Type: [Select an Industry Type]
Sort Results By: Date Filed   Desc
Results Per Page: 25

(S)earch   (C)lear Screen

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The Full-Text Search is the same as the Document Search except for the addition of the Text Search field, which allows you to also search through the text of all text-based documents in the system.

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Full-Text Search

PLEASE NOTE: Full text searching is resource intensive. Depending on your connection speed, it may be several minutes before any results are returned.

Text Search:
Docket Number:
Docket Type: [Select a Docket Type]
Filing Title:
Date Filed:
Document Title:
Document Type: [Select a Document Type]
Submitter Name:
Submitting Parties: [Select a Company]   Add
                                                  Add
                                                  Remove
Industry Type: [Select an Industry Type]
Sort Results By: Date Filed   Desc
Results Per Page: 25

(S)earch   (C)lear Screen   (G)o to Document Search

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Select the Search button to run the Search.

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Document Search Results

5 Results Found   Back to Search

Search Criteria: **Docket Type:** RPU   **Date Filed:** 01/01/2007 - 12/31/2007   **Document Type:** Initiating File or Document and Amendments

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			Docket Number	Document Title	Date Filed	Document Type	Submitter Name
View	Save	Summary	RPU-2007-0001	Application for Access Service Rates	02/26/2007	Initiating File or Document and Amendments	Person1
			Filing Title: Rate Proceeding Initial Application				
			Submitting Parties: South Slope Cooperative Telephone Company				
View	Save	Summary	RPU-2007-0002	Application for Ratemaking Principles	04/19/2007	Initiating File or Document and Amendments	Person2
			Filing Title: Ratemaking Principles Initial Filing				
			Submitting Parties: MidAmerican Energy Company				
View	Save	Summary	RPU-2007-0003	Application for Revision of Rates	08/30/2007	Initiating File or Document and Amendments	Person3
			Filing Title: Rate Increase Initial Application				
			Submitting Parties: Iowa-American Water Company				
View	Save	Summary	RPU-2007-0004	Rate Equalization Third STep Tariff Application	09/07/2007	Initiating File or Document and Amendments	Person4
			Filing Title: Rate Equalization 3 Initial Filing				
			Submitting Parties: Interstate Power and Light Company				
View	Save	Summary	RPU-2007-0005	Application for Ratemaking Principles	09/28/2007	Initiating File or Document and Amendments	Person5
			Filing Title: Ratemaking Principles Initial Filing				
			Submitting Parties: Interstate Power and Light Company				

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Document Search Results

5 Results Found   (B)ack to Search

Search Criteria: **Docket Type:** RPU   **Date Filed:** 01/01/200...   ...t and Amendments

Opening erinTest.txt

You have chosen to open

📄 **erinTest.txt**
which is a: Text Document
from: https://ucmdev.zirous.com

What should Firefox do with this file?

⦿ Open with   Notepad (default)
○ Save to Disk

☐ Do this automatically for files like this from now on.

OK   Cancel

			Docket Number	Document Title		Type	Submitter Name
View	Save	Summary	RPU-2007-0005	Application for Rate...		or Document and Amendments	Person5
			Filing Title: Ratemaking Principles Initial				
			Submitting Parties:				
View	Save	Summary	RPU-2007-0004	Rate Equalization T...		or Document and Amendments	Person4
			Filing Title: Rate Equalization 3 Initial Fili...				
			Submitting Parties:				
View	Save	Summary	RPU-2007-0003	Application for Rev...		or Document and Amendments	Person3
			Filing Title: Rate Increase Initial Applicat...				
			Submitting Parties: MidAmerican Energ...				
View	Save	Summary	RPU-2007-0002	Application for Rate...		or Document and Amendments	Person2
			Filing Title: Ratemaking Principles Initial...				
			Submitting Parties:				
View	Save	Summary	RPU-2007-0001	Application for Acc...		or Document and Amendments	Person1
			Filing Title: Rate Proceeding Initial Application				
			Submitting Parties: Iowa Telecom, a new test for docket, asdfasdfasdfasdfasdfsd, docket party!!!!				

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Select the Documents link to view all documents for the current docket number.

Select the View Service List link to see the Service List for the current docket number.

Select the Print link to pop-up the Print dialog box, allowing you to print the current screen without the header, footer, and any links.

This screen shows the filing search criteria. Searches can be limited by entering information in one or more of the search fields.

You can specify how you want the results sorted and how many results you want to see per page.

This is the search results view for the Filing Search.

Iowa Utilities Board - Electronic Filing System

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Filing Search Results

4 Results Found   (B)ack to Search
Search Criteria:
Filing Type: all
Docket Number: efs-2009-0001
From Date: 03/06/2009
To Date: 8/17/2009

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Filing ID	Docket Number	Filing Title	Submitter Name	Date Filed	Submitting Parties
View	2129273	EFS-2009-0001	Invitation to Groundbreaking for IUB/OCA Building on August 20, 2009	Iowa Utilities Board	08/17/2009	
View	2109432	EFS-2009-0001	Best Practices Advisory -- July 2009	Iowa Utilities Board	07/02/2009	
View	2084196	EFS-2009-0001	Scheduled Outage for EFS on May 14 at 8 pm to May 15 at 6 am	Iowa Utilities Board	05/14/2009	
View	2029869	EFS-2009-0001	Frequently Asked Questions, March 2009	Iowa Utilities Board	03/06/2009	Iowa Utilities Board

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Search criteria entered on the previous page are listed here, along with the number of results.

The filing search results display the filing ID, the docket number, filing title, submitter name, date filed, and submitting parties. Click on view to view the filing and get links to public documents contained within the filing. Click on underlined column headings to sort the results. Click again to change sort order between ascending and descending.

Iowa Utilities Board - Electronic Filing System   Welcome, Joe External User!

IUB Home | EFS Home | Search | Summary of Orders and Filings | Submit Filing | Help/FAQ | Update Profile | Logout

Tariff Search

Company: [Select a Company]
Industry Type: [Select an Industry Type]
Tariff Status: [Select a Tariff Status]
Sort Results By: Company   Asc
Results Per Page: 25

(S)earch   (C)lear Screen

IUB Home | EFS Home | Help / FAQ | Login

This is the search view for the Tariff Search.

You can specify how you want the results sorted and how many results you want to see per page.

Select the Search button to run the Search.

Iowa Utilities Board – Electronic Filing System Welcome, Joe External User!

IUB Home EFS Home Search Summary of Orders and Filings Submit Filing Help/FAQ Update Profile Logout

Tariff Search Results

5 Results Found   [Back to Search]
Search Criteria: **Industry Type:** Natural Gas   **Tariff Status:** Active

Page 1

			Docket Number	Document Title	Industry Type	Company	Tariff Status
View	Save	Summary	T-0150	Natural Gas Tariff	Natural Gas	Interstate Power and Light Company	Active
View	Save	Summary	T-0156	Natural Gas Tariff	Natural Gas	MidAmerican Energy Company	Active
View	Save	Summary	T-0220	Natural Gas Tariff	Natural Gas	Allerton Gas Company	Active
View	Save	Summary	T-0222	Natural Gas Tariff	Natural Gas	Atmos Energy Corporation	Active
View	Save	Summary	T-0225	Natural Gas Tariff	Natural Gas	Aquila, Inc.	Active

Page 1

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Number of results found is indicated.

Search criteria entered on the previous page are listed here.

Click on any of the column headers to re-sort the results by that column. Select the same column to change from Asc to Desc.

Select the View link to view that specific document in a new browser window.

Select the Save link to open a save dialog box that allows you to open the document or save the document.

Select the Summary link to view the Docket Summary for that specific docket number.

4.5 Summary of Orders and Filings Search

The Summary of Orders and Filings Search replaces the Daily Summary of Orders and Filings previously prepared by the Board and provides the user with more options. The search results will show all filings by docket on a particular date. Listings of filings in dockets subject to the electronic filing requirement will include a link to a list of the documents included in that filing. For instance, a date range can be entered instead of only selecting a certain date. When first viewing the screen, the date fields will be pre-populated with the current date.

Select calendar icon to select a date.

Select search button to run a search.

Select the Print button to have a Print dialog appear, allowing you to print the current screen.

Dates entered on previous screen shown here.

Select the docket number link to open a pop-up of all the documents for the specific filing in that docket number.
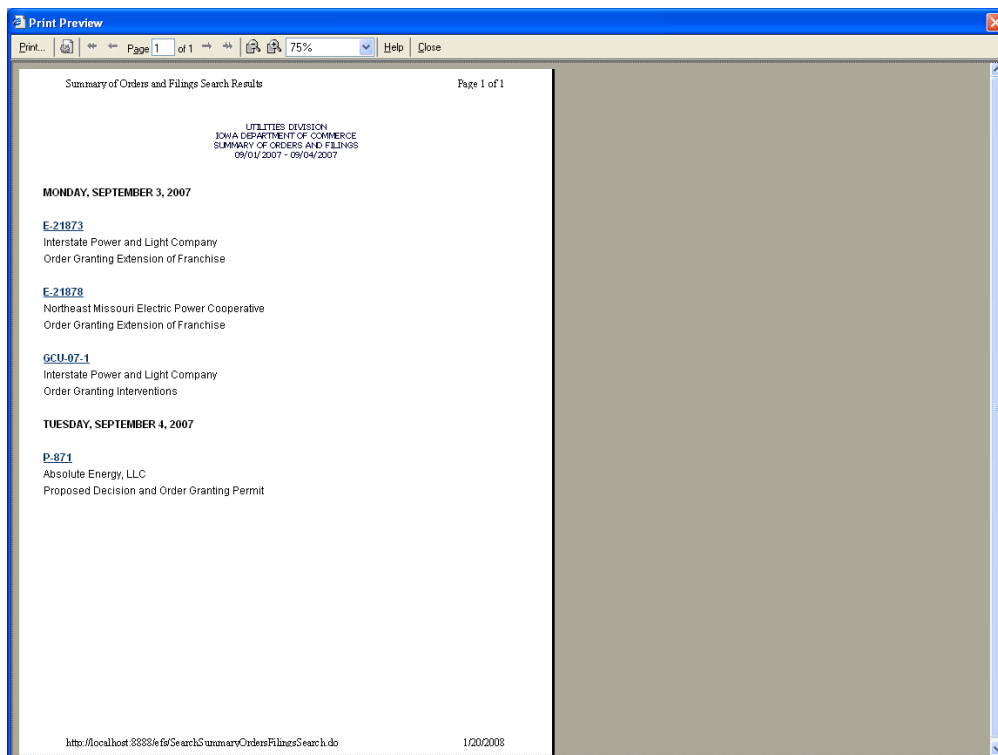
Note that when the screen is printed, the header, footer, and any buttons do not appear.

4.6 Docket Search

This screen allows you to search for all existing dockets by one or more criteria.

Select calendar icon to select date.

Select the icon to pop-up a Company Search that will populate the Parties box.

Selecting the Add button by the drop-down or text box will add that item to the Parties box. Selecting one or more items from the Parties box and selecting Remove will remove those parties.

One or more Industry Types can be selecting by using Ctrl-Click with your mouse.

You can specify how you want the results sorted and how many results you want to see per page.

Select the Search button to

Search criteria entered on the previous page are listed here.

Iowa Utilities Board - Electronic Filing System

IUB Home EFS Home Search Summary of Orders and Filings Submit Filing Help/FAQ Login

Docket Search Results

5 Results Found   [Back to Search]
Search Criteria: **Docket Number: RPU**

Page 1

		Docket Number	Docket Title	Initial Filing Date	Docket Status
Documents	Summary	RPU-2007-0001	South Slope Cooperative Telephone Company	02/26/2007	Open

Docket Description: Application for Access Service Rates
Docket Notes: Carrier common line charge

| Documents | Summary | RPU-2007-0002 | MidAmerican Energy Company | 04/19/2007 | Closed |

Docket Description: Application for Declaration of Ratemaking Principles for Wind Power Projects
Docket Notes: Wind Project, up to 540 MW, locations not determined

| Documents | Summary | RPU-2007-0003 | Iowa-American Water Company | 08/30/2007 | Closed |

Docket Description: Application for Revision of Rates
Docket Notes: $6.124 million increase requested (26.73%)

| Documents | Summary | RPU-2007-0004 | Interstate Power and Light Company | 09/07/2007 | Closed |

Docket Description: Rate Equalization Third Step Tariff Application
Docket Notes: Large general service, residential service, general service

| Documents | Summary | RPU-2007-0005 | Interstate Power and Light Company | 09/28/2007 | Open |

Docket Description: Application for Determination of Ratemaking Principles for Wind Project
Docket Notes: Wind project, up to 200 MW, site not determined

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IUB Home | EFS Home | Help / FAQ | Login

Click on any of the column headers to re-sort the results by that column. Select the same column to change from Asc to Desc.

Select the Documents link to view all documents for that specific docket number.

Select the Summary link to view the Docket Summary for that specific docket number.

Iowa Utilities Board - Electronic Filing System

IUB Home EFS Home Search Summary of Orders and Filings Submit Filing Help/FAQ Login

Docket Summary for Docket RPU-2007-0001

Back to Results   Documents   View Service List   Print

Docket Number:	RPU-2007-0001
Docket Title:	South Slope Cooperative Telephone Company
Docket Description:	Application for Access Service Rates
Docket Notes:	Carrier common line charge
Docket Summary:	adding a summary
Initial Submitting Parties:	
Initial Submission Date:	01/10/2008
Initial Filing Date:	02/26/2007
Initial Accepted/Rejected Date:	
Docket Status:	Open
Presiding:	Board
County:	Not Applicable
Expedited Relief:	N
Industry Type:	Telephone
Involved Parties:	
Comments:	
Related Dockets (Consolidated):	
Related Dockets (Includes):	
Related Dockets (See Also):	

Back to Results   Documents   View Service List   Print

IUB Home | EFS Home | Help / FAQ | Login

Select the Documents link to view all documents for the current docket number.

Select the Service List link to see the Service List for the current docket number.

Select the Print link to pop-up the Print dialog box, allowing you to print the current screen without the header, footer, and any links.

4.7 Company Search

This screen allows you to search for companies for which the Board has stored information. The search must specify one or more criteria.

You can specify how you want the results sorted and how many results you want to see per page.

Select the Search button to run the Search.

Number of results found is indicated.

Search criteria entered on the previous page are listed here.

Click on any of the column headers to re-sort the results by that column. Select the same column to change from Asc to Desc.

Select the Summary link to view the Company Summary for that specific company.

If the company has any related companies, they will be shown here along with the type of relationship and other information about the related company.

Selecting the Summary link under Related Companies will take you to the Company Summary page for the related company.

Select the Print link to pop-up the Print dialog box, allowing you to print the current screen without the header, footer, and any links.

4.8   View Service List

This screen allows you to view the Service List associated with a specific docket number. It is accessible through the Docket Summary screen.

Select the Show Details button if you wish to view additional service list information.

To hide the extra information and only view the basic information, select the Hide Details button.

5   File and Document Naming Instructions

When naming filings and documents, it is important to keep in mind that one great benefit of EFS is the ability to find documents once they are filed. In order to make each document easier to find, names of filings and documents should be descriptive without being verbose.

Remember to be as consistent, concise, and complete as possible within EFS constraints.

When a filing contains a single document, it may make sense for the filing title and document title to be the same.

Filing titles must be no more than 200 characters, including spaces. Document titles must be no more than 200 characters, including spaces. Filing and document titles should not include the application extension (.doc, .xls, .pdf) in the title.

5.1 Sample Filing Titles:

Use these:

- Application for Authority to Provide Competitive Local Exchange Service

- Application for Electric Rate Increase

- Application for Extension of Electric Franchise

- Complaint to Reduce Access Charges to Economic Cost

- Complaint for Reform of Access Charges

- Complaint Regarding Unfair Application of Balancing Penalties

- Direct Testimony and Exhibits

- Joint Motion for Adoption of Stipulation

- Motion for Extension of Time

- Motion to Compel Discovery

- Petition for Formal Proceeding

- Petition to Intervene

- Petition to Intervene and Application for Admission of Out-of-State Attorney to Appear

- Prehearing Brief

- Proposed Purchased Gas Adjustment Tariff Revision to Reflect a Change by the Suppliers Northern Natural Gas Company, Natural Gas Pipeline Company of America, ANR Pipeline Company

- Supplemental Testimony

5.2 Sample Document Titles:

- Application for Admission of Out-of-State Attorney to Appear

- Application for Authority to Provide Competitive Local Exchange Service

- Complaint to Reduce Access Charges to Economic Cost

- Complaint for Reform of Access Charges

- Complaint Regarding Unfair Application of Balancing Penalties

- Doe, J.N., Direct testimony

- Doe, J.N., Exhibit

- Doe, J.N., Exhibit – Confidential

- Doe, J.N., Exhibit – Public

- Joint Motion for Adoption of Stipulation

- Motion for Extension of Time

- Motion to Compel Discovery

- Petition for Formal Proceeding

- Petition to Intervene

- Prehearing Brief

- Request for Confidential Treatment

- Request for Permission to Appear

- Request for Waiver of (show rule -- 199 IAC x.x(x))

- Smith, A.B, Supplemental Testimony

- Doe, J.N., Supplemental Testimony

- Tariff for Competitive Local Exchange Service

5.3   What Not to Do

Don't use these as either filing or document titles:

- April 20, 2009

- Document 1

- File2

- Filing

- Motion

- My Certificate

- PGA

- Rates

- Request

- Rate.xls

6 Common Features

6.1 Quick Access Keys

Several buttons in EFS have quick access keys that allow you to select a button without using the mouse to click on the button. If a character is surrounded by parentheses, this indicates that character is the quick access key. For example, a button that contains the text "(S)earch" has a quick access key of "S."

To use the quick access key, locate your browser and computer in the list below for instructions.

6.1.1 Internet Explorer on a PC

To use a quick access key in Internet Explorer on a PC, select and hold down the Alt key, then select the quick access key and release both keys. For example, with a quick access key of "S," select Alt-S.

6.1.2 Internet Explorer on a Mac

To use a quick access key in Internet Explorer on a Mac, select and hold down the Ctrl key, then select the quick access key and release both keys. For example, with a quick access key of "S," select Ctrl-S.

6.1.3 Mozilla Firefox

To use a quick access key in Firefox, select and hold down the Shift key, select and hold down the Alt key, then select the quick access key and release all 3 keys. For a quick access key of "S," select Shift-Alt-S.

6.1.4 Opera

To use a quick access key in Opera, select and hold down the Shift key, select and hold down the Esc key, then select the quick access key and release all three keys. For a quick access key of "S," select Shift-Esc-S.

6.2 Magnifying Glass Icons

A magnifying glass icon ( ) next to a field on a screen indicates that a pop-up search function is available for that field. For example, if the magnifying glass icon appears after a docket number field, using the mouse to click on this icon will open a docket search that will allow you to search for and select the correct docket number. The selected docket number will populate the docket number field on the original screen. This search function is also available for the company field. For best results when using this function, disable your pop-up blocker for the EFS site.

6.3 Calendar Icons

A calendar icon ( ) next to a date field on a screen indicates that a pop-up calendar function is available to allow you to select and populate a date in that field. For best results when using this function, disable your pop-up blocker for the EFS site.

In all calendar fields, you can also enter the date manually instead of selecting it. If you type it in, the date must either be in the format mm/dd/yyyy or in the format mmddyyyy. Slashes will automatically be added to dates in the mmddyyyy format when you tab out of the field. Note that all years must be entered as four digits.

6.4 Required Fields

Required fields on the screen are indicated with a star icon (✱). You will not be able to proceed unless you enter the required information in these fields.

6.5 Header Menu

The Header Menu is available on most EFS pages. It allows you to navigate to all areas of EFS. To access drop-down menus, use your mouse to hover over the menu item (e.g., Search), and if there are drop-down menu items, those items will appear.

Header Menu (initial view):

Header Menu (view after logging in – note the Welcome message on the top right):
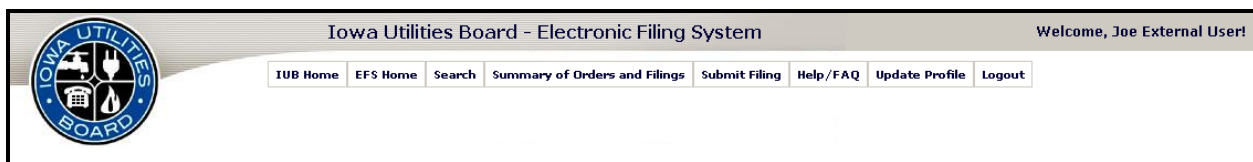
Header Menu with sub-menus:

6.6 Footer

The footer appears on all pages of EFS. Different menu options are available depending upon page type.

Main Level Footer:
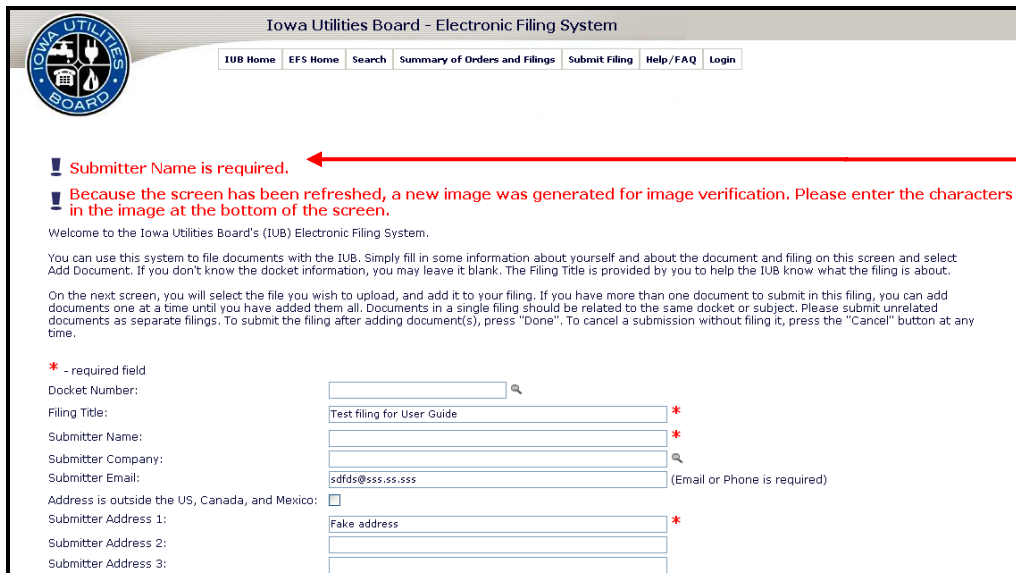
Pop-up Level Footer:

6.7 Error/Warning Messages

Most error messages or warning messages display at the top of the screen in bold red text. Generally, these items need to be addressed before proceeding to the next page.

Some error messages or warning messages display in the form of an alert box in front of the page. To continue, you must select either OK or Cancel to close the alert box.

Here are some examples of error/warning messages displaying on the top of the screen in bold red.

Document Search

Iowa Utilities Board - Electronic Filing System

IUB Home | EFS Home | Search | Summary of Orders and Filings | Submit Filing | Help/FAQ | Login

Docket Number:	
Docket Type:	[Select a Docket Type]
Filing Title:	
Date Filed:	122007 -
Document Title:	
Document Type:	[Select a Document Type]
Submitter Name:	
Submitting Parties:	[Select a Company] Add
	Add
	Remove
Industry Type:	[Select an Industry Type]
Sort Results By:	Date Filed Desc
Results Per Page:	25

(S)earch (C)lear Screen

The page at http://iubvm2dev.zirous.com:7777 says:

⚠ That date is invalid. Must be in mm/dd/yyyy format. Please try again.

OK

A sample error alert box.

IUB Home | EFS Home | Help / FAQ | Login
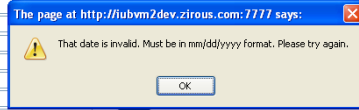
7 Glossary

- Adobe Acrobat – Application universally used to create and view PDF documents. Adobe Systems Inc. created the PDF software.

- Board – Iowa Utilities Board.

- Browse – A Windows operation of navigating through directories to select a specific file. When filing a document through EFS, the Browse function allows a user to access and select for filing documents stored in his or her own computer.

- Checkbox – Checkboxes are designed to allow users to choose items from a list by clicking on the box next to the item. If there are multiple checkboxes, more than one item can be selected. Once selected, the box will contain a check mark or an "x."

- Docket – A group of filings that share a relationship. Each docket is assigned a number and a specific docket type.

- Download – Downloading refers to copying documents or files from the Internet or a network server to your computer. The opposite of download is upload.

- Drop-down Box – An alphabetical list of selections to choose from. Drop-down boxes are used throughout EFS to list companies, industry types, etc. When you see a selection you want to make, click on it to highlight it. To select more than one item, hold down the control (Ctrl) key, scroll to the next selection, click on it to highlight it, and continue as needed. Not all drop-down boxes allow for multiple selections.

- EFS – the Iowa Utilities Board's Electronic Filing System. External users use EFS to file documents with the Board and to search for and view public documents filed with the Board. The Board uses EFS to receive filings from external users and to publish and issue Board orders. In some cases, EFS is used to serve documents filed by external users on other parties.

- Filer – The user who submits a document through EFS for the Board's consideration.

- Filing – A filing consists of one or more documents, along with some basic information, which are submitted for the Board's consideration.

- IUB – Iowa Utilities Board.

- PDF – Portable Document Format. PDF is a universal file format that preserves the fonts, images, graphics, and layout of any source document, regardless of the application and platform used to create it. PDF files are viewed using Adobe Reader.

- Pop-up Window – A window that appears separate from the original page; a user can have the main level page and the pop-up window open at the same time.

- Radio Button – A round selection button used to choose one item from a list. Click on the button next to the item to make the selection.

- Records and Information Center – The Iowa Utilities Board Records and Information Center receives, reviews, and processes filings for publication and distribution.

- Screen Resolution – Refers to the sharpness and clarity of an image. For monitors, it refers to the number of dots (pixels) that can be placed side by side on a screen (e.g., 800 x 600 screen resolution is capable of placing 800 dots on 600 lines).

- Tariff – A schedule of rates or charges of a public utility.

- Tariff Book – T docket type. This is a compilation of all the most current pages approved through TF filings, etc. that comprise a tariff.

- TF – Tariff Filing. This is a docket type that is used to designate proceedings through which the schedules of rates and services are approved by the Board. A TF is the proceeding for considering new or revised rates and services and is different from a Tariff Book, a compilation of approved rates and services (T docket type).

- Upload – To transmit data from your computer to a network or Web server. To file a document through EFS, you must upload it from your computer to the Board's Web server.

8 Index

Appendix A: Standards for Electronic Information

Revised January 2011

On January 2, 2009, the Iowa Utilities Board (IUB) began accepting filings in NEW proceedings through an Electronic Filing System (EFS). Filings in proceedings initiated prior to January 2, 2009, will primarily continue to be filed on paper, and any accompanying electronic information should be filed in accordance with the standards in Section C below, until those dockets are closed. For more information on filings in EFS, see Section A below.

Contact the Records and Information Center at 1375 East Court Avenue, Des Moines, IA 50319-0069 or at (515) 725-7337 for an official copy of these standards.

A. Information for proceedings subject to the Electronic Filing Requirement (for filing in proceedings not subject to the electronic filing requirement, see Section C.)

The Iowa Utilities Board's (IUB) standard operating system is Microsoft (MS) Windows XP.

The IUB's standard application software is MS Office 2007. Filers may file information in MS Office 2007 format. However, it is recommended that spreadsheets and workbooks be filed in MS Office 2000-2003 format for maximum useability.
1. MS Excel 2007 for spreadsheets and workbooks;
2. MS Access 2007 for databases;
3. MS Word 2007 for text.

Electronic information should be presented in these formats or in formats that are convertible by these applications without loss of data or functionality. Electronic files that are not intended to be used for or to present calculations or data manipulation may be submitted in text-searchable (whenever feasible) portable document format (PDF).

Spreadsheets, workbooks, and databases must be filed in native format (MS Excel 2000, 2003, or 2007 or MS Access 2000, 2003, or 2007) and must include all cell formulae and cell references to allow IUB staff and the Office of Consumer Advocate to analyze and reproduce calculations. If you request confidential treatment of any information in a spreadsheet, worksheet, or database, you must submit a request for confidential treatment along with two versions of the document: a public version with the cell formulae deactivated and other confidential information redacted and a version not for publication containing live formulae and no redaction.

Databases that do not contain calculations may also be provided in comma delimited format (CSV) and text may be submitted in ASCII or other standard text (TXT) format.

It is the filer's responsibility when submitting a public version of any document to take appropriate measures to ensure that any embedded confidential information is non-viewable, non-searchable, and non-reversible.

Remove all password protection from documents and files before submitting them into EFS. Filings containing password protected documents will be rejected. Do not submit zipped files. Filings containing zipped or compressed documents will be rejected.

Digital photographs should be submitted in JPG or TIF format.

If you propose to submit electronic information that does not comply with these standards, please contact the Executive Secretary or the General Counsel of the Board prior to submission.

B. Naming Conventions for Documents and Filings in EFS

When naming filings and documents, it is important to keep in mind that one great benefit of EFS is the ability to find documents once they are filed. In order to make each document easier to find, names of filings and documents should be descriptive without being verbose.

Remember to be as clear, consistent, concise, and complete as possible within EFS constraints.

When a filing contains a single document, it may make sense for the filing title and document title to be the same.

Filing titles must be no more than 200 characters, including spaces. Document titles must be no more than 200 characters, including spaces. Filing and document titles should not include the software application extension (.doc, .xls, .pdf) in the title.

Filings made under the Iowa Administrative Code, the Code of Iowa, or United States Code should include the code citation in the filing title (e.g., Alternate Energy Production Annual Report, 199 IAC 15.11(3); Joint Filing of Guidelines, 199 IAC 20.2(4)"g"; Fourth Quarterly Report, Iowa Code 476.29).

The document name for a document containing testimony, should include the word "testimony" and at least the last name(s) of the witness(es) in the document title. Similar naming should apply for exhibits and workpapers or any other documents where the identity of the person presenting the information is key information.

Sample filing titles:

    Use these:
    Application for Authority to Provide Competitive Local Exchange Service
    Application for Electric Rate Increase
    Application for Extension of Electric Franchise
    Complaint to Reduce Access Charges to Economic Cost
    Complaint for Reform of Access Charges
    Complaint Regarding Unfair Application of Balancing Penalties
    Direct Testimony and Exhibits
    Joint Motion for Adoption of Stipulation
    Motion for Extension of Time
    Motion to Compel Discovery
    Petition for Formal Proceeding
    Petition to Intervene
    Petition to Intervene and Application for Admission of Out-of-State Attorney to Appear
    Prehearing Brief
    Proposed Purchased Gas Adjustment Tariff Revision to Reflect a Change by the Suppliers Northern Natural Gas Company, Natural Gas Pipeline Company of America, ANR Pipeline Company
    Request for Permission to Appear
    Supplemental Testimony

Sample document title:

    Application for Admission of Out-of-State Attorney to Appear
    Application for Authority to Provide Competitive Local Exchange Service
    Complaint to Reduce Access Charges to Economic Cost
    Complaint for Reform of Access Charges
    Complaint Regarding Unfair Application of Balancing Penalties
    Doe Direct testimony
    Doe Exhibit102 – Confidential
    Doe Exhibit 102 – Public
    Doe Supplemental Testimony
    Doe Workpapers – Cost of Capital
    Joint Motion for Adoption of Stipulation
    Motion for Extension of Time
    Motion to Compel Discovery
    Petition for Formal Proceeding
    Petition to Intervene
    Prehearing Brief
    Request for Confidential Treatment
    Request for Permission to Appear
    Request for Waiver of (show rule -- 199 IAC x.x(x))
    Smith Supplemental Testimony
    Tariff for Competitive Local Exchange Service

Don't use these as either filing or document titles:
April 20, 2009
Document 1
File2
Filing
Motion
My Certificate
PGA
Rates
Request

C. Information for proceedings not subject to the Electronic Filing Requirement

Electronic information in proceedings otherwise continuing on paper must be filed along with the paper documents at the following address:
Executive Secretary
Iowa Utilities Board
Records and Information Center
1375 East Court Avenue
Des Moines, Iowa 50319-0069

The Iowa Utilities Board's (IUB) standard operating system is Microsoft (MS) Windows XP.

The IUB's standard application software is MS Office 2007. Filers may file information in MS Office 2007 format. However, it is recommended that spreadsheets and workbooks be filed in MS Office 2000-2003 format for maximum useability.
1. MS Excel 2007 for spreadsheets and workbooks;
2. MS Access 2007 for databases;
3. MS Word 2007 for text.

Electronic information should be presented in these formats or in formats that are convertible by these applications without loss of data or functionality. Databases that do not contain calculations may also be provided in comma delimited format (CSV) and text may be submitted in ASCII or other standard text (TXT) format.

Spreadsheets, workbooks, and databases must include all cell formulae and cell references to allow IUB staff to analyze and reproduce calculations.

All electronic files must be provided in editable form. Any files submitted in portable document format (PDF) must be accompanied by the original files from which the PDF files were created, in native format and including calculations and formulae.

It is the filer's responsibility when submitting a public version of any document to take appropriate measures to ensure that any embedded confidential information is non-viewable, non-searchable, and non-reversible.

Remove all password protection from documents and files before submitting them into EFS. Filings containing password protected documents will be rejected. Do not submit

zipped or compressed files without prior authorization. Filings containing zipped or compressed documents will be rejected.

Digital photographs should be submitted in JPG or TIF format.

If the digital information is being filed in a proceeding not subject to the electronic filing requirement (i.e., a proceeding initiated prior to January 2, 2009, or a proceeding otherwise to remain on paper), filers must submit the electronic information on the following types of compatible media:

1. Electronic files should be submitted on IBM-compatible DVD, CD-ROM or 3 ½" disk. The IUB is unable to use non-IBM compatible media for data.
2. Sound recordings should be submitted on DVD, CD-ROM or cassette tape.
3. Video recordings should be submitted on DVD.

If you propose to submit electronic information that does not comply with these standards, please contact the Executive Secretary or the General Counsel of the Board prior to submission.